

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		<b>Docket Number</b> 01-1034		<b>Application Number</b> 10/047,607			
		<b>Applicants</b> Andrew Gilbert. Et. al.					
		<b>Filing Date</b> January 14, 2002		<b>Group Art Unit</b> 3691			
<b>U.S. PATENT DOCUMENTS</b>							
<b>Examiner Initials</b>	<b>Cite No.</b>	<b>Document Number</b>	<b>Date</b>	<b>Name of Patentee</b>	<b>Class</b>	<b>Sub-Class</b>	<b>Filing Date</b>
		5,546,523	8/13/1996	Gatto			
		5,806,050	9/8/1998	Shinn et al.			
		5,970,479	10/19/1999	Shepherd			
		6,014,627	1/11/2000	Togher, et al.			
		6,061,789	5/9/2000	Hauser			
<b>FOREIGN PATENT DOCUMENTS</b>							
<b>Examiner Initials</b>	<b>Cite No.</b>	<b>Foreign Patent Document</b>	<b>Date</b>	<b>Country</b>	<b>Class</b>	<b>Sub-Class</b>	<b>Translation</b>
		WO 01/27836	4/19/2001	PCT			
		EP 1 100 030	5/15/2001	EPO			
		EP 0 399 850 A2	11/28/1990	EPO			
		EP 0 407 026 A2	1/9/1991	EPO			
		EP 0 411 748 A2	2/6/1991	EPO			
		EP 0 873 549 B1	8/8/2001	EPO			
<b>NON PATENT LITERATURE DOCUMENTS</b>							
<b>Examiner Initials</b>	<b>Cite No.</b>	<b>Author, Title, date, pages, volume, publisher, city and/or country where published</b>					
		Letter of Albert P. Moras and Exhibits Ia – IVb for “QV Trader” and “Bondpage.com”, April 4, 2002 , 16 pp.					
		Copy of Office Action mailed July 19, 2006, Application Serial No. 09/853,430, entitled “Systems and Method for Anonymous Electronic Trading”, Examiner Olabode Akintola, 12 pp.					
		USPTO Office Action for Application No. 11/562,719, February 12, 2008 (11 pages).					
		Pending U.S. Patent Application Serial No. 11/562,719, entitled "Processing of Orders in a Trading System Once Warning Limits are Exceeded", filed November 22, 2006 in the name of Ginsberg et al.					
		USPTO Office Action for Application No. 11/562,674, February 14, 2008 (14 pages).					
		Pending U.S. Patent Application Serial No. 11/562,674, entitled "Processing of Trades That Exceed Warning Limits", filed November 22, 2006 in the name of Ginsberg et al.					
		USPTO Office Action for Application No. 09/853,430, July 19, 2006 (8 pp).					
<b>Examiner Signature</b>	/Muriel Tinkler/ (12/17/2008)			<b>Date Considered</b>			

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		<b>Docket Number</b> 01-1034	<b>Application Number</b> 10/047,607
		<b>Applicants</b> Andrew Gilbert. Et. al.	
		<b>Filing Date</b> January 14, 2002	<b>Group Art Unit</b> 3691
<b>NON PATENT LITERATURE DOCUMENTS</b>			
<b>Examiner Initials</b>	<b>Cite No.</b>	Author, Title, date, pages, volume, publisher, city and/or country where published	
		USPTO Office Action for Application No. 09/853,430, December 18, 2006 (9 pp).	
		USPTO Office Action for Application No. 09/853,430, June 21, 2007 (8 pp).	
		USPTO Office Action for Application No. 09/853,430, December 31, 2007 (11 pp).	
		MoneyMatch, Functional Specification, Version 1, August 1990, The Sequor Group Inc. Software Services	
		Assorted Documents from QV Trading Systems (not dated).	
		Assorted Documents from Bondpage (copyright 2001).	
		Pending U.S. Patent Application Serial No. 09/853,430, entitled "Systems and Methods for Anonymous Electronic Trading", filed May 10, 2001 in the name of Ginsberg et al.	
		PCT Search Report for International Application No.: PCT/US01/41525; 5 pages; 10/26/2001	
<b>Examiner Signature</b>	/Muriel Tinkler/ (12/17/2008)		<b>Date Considered</b>